

IN THE UNITED STATES PATENT AND TRADEMARK OFFICE

re application of

Hiroyuki SASAI et al.

Serial No. NEW

Attn: APPLICATION BRANCH

Filed June 28, 2001

Docket No. 2001_0928A

OPTICAL TRANSMISSION SYSTEM FOR
RADIO ACCESS AND HIGH FREQUENCY
OPTICAL TRANSMITTER

COPY

INFORMATION DISCLOSURE STATEMENT

Assistant Commissioner for Patents,
Washington, DC 20231

Sir:

Pursuant to the provisions of 37 CFR 1.56, 1.97 and 1.98, Applicants request consideration of ☒ the references listed on attached form PTO-1449 and/or ☐ the additional information identified below in paragraph 3. A legible copy of each reference listed on the form PTO-1449 and each U.S. patent application listed below is enclosed, except a copy is not provided for each reference previously cited by or submitted to the Patent Office in prior parent application Serial No. _____.

1a. ☒ This Information Disclosure Statement is submitted:

within three months of the filing date (or of entry into the National Stage) of the above-entitled application, or

before the mailing date of the first Office Action on the merits,

and thus no certification and/or fee is required.

- 1b. ☐ This Information Disclosure Statement is submitted

after the events of above paragraph 1a and prior to the mailing date of a final Office Action or a Notice of Allowance or an action which otherwise closes prosecution in the application, and thus:

- (1) ☐ the certification of paragraph 2 below is provided, **or**
(2) ☐ the fee of \$180.00 specified in 37 CFR 1.17(p) is enclosed.

- 1c. ☐ This Information Disclosure Statement is submitted:

after the mailing date of a final Office Action or Notice of Allowance or action which otherwise closes prosecution in the application, and prior to payment of the issue fee, and thus:

**the certification of paragraph 2 below is provided, and
the fee of \$180.00 specified in 37 CFR 1.17(p) is enclosed.**

2. It is hereby certified

- a. ☐ that each item of information contained in this Information Disclosure Statement was first cited in any communication from a foreign patent office in a counterpart foreign application not more than three months prior to the filing of the Statement, or
b. ☐ that no item of information contained in the Information Disclosure Statement was cited in a communication from a foreign patent office in a counterpart foreign application and, to the knowledge of the person signing the certification after making reasonable inquiry, was known to any individual designated in §1.56(c) more than three months prior to the filing of the Statement.

3. ☐ Consideration of the following list of additional information (including any copending or abandoned U.S. application, prior uses and/or sales, etc.) is requested.

4. For each non-English language reference listed on the attached form PTO-1449, reference is made to:
- a. ☐ a full or partial English language translation submitted herewith,
 - b. ☐ a foreign patent office search report (in the English language) submitted herewith,
 - c. ☒ the concise explanation contained in the specification of the present application at pages 67 and 69,
 - d. ☒ the concise explanation set forth in the attached English language abstract,
 - e. ☐ the concise explanation set forth below or on a separate sheet attached to the reference:
5. ☐ A foreign patent office search report citing one or more of the references is enclosed.

Respectfully submitted,

Hiroyuki SASAI et al.

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June 28, 2001

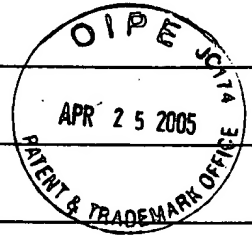
FORM PTO-1449 (modified)

U.S. DEPARTMENT OF COMMERCE
PATENT AND TRADEMARK OFFICELIST OF REFERENCES CITED BY APPLICANT(S)
(Use several sheets if necessary)

Date Submitted to PTO: June 28, 2001

ATTY DOCKET NO.
2001_0928ASERIAL NO.
NEWAPPLICANT
Hiroyuki SASAI et al.FILING DATE
June 28, 2001

GROUP



U.S. PATENT DOCUMENTS

| *EXAMINER INITIAL | | DOCUMENT NUMBER | DATE | NAME | CLASS | SUBCLASS | FILING DATE IF APPROPRIATE |
|----------------------|----|--------------------|--------|-----------------------|-------|----------|-------------------------------|
| | AA | 5,422,966 | 6/6/95 | Gopalakrishnan et al. | | | |
| | AB | | | | | | |
| | AC | | | | | | |
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| | AI | | | | | | |

FOREIGN PATENT DOCUMENTS

| | | DOCUMENT NUMBER | DATE | COUNTRY | CLASS | SUBCLASS | TRANSLATION YES NO | |
|--|----|--------------------|---------|---------|-------|----------|-----------------------|--|
| | AJ | 5-244119 | 9/21/93 | JP | | | Abstract | |
| | AK | 6-268590 | 9/22/94 | JP | | | Abstract | |
| | AL | 10-200484 | 7/31/98 | JP | | | Abstract | |
| | AM | 9-236781 | 9/9/97 | JP | | | Abstract | |
| | AN | | | | | | | |

OTHER DOCUMENT(S) (Including Author, Title, Date, Pertinent Pages, Etc.)

| | | |
|--|----|---|
| | AO | "WAVELENGTH MULTIPLEXING OPTICAL SEMICONDUCTOR COMPONENT" by Yoshikuni et al., magazine "O PLUS E", November 1997 |
| | AP | "FULL-DUPLEX FIBER-OPTIC RF SUBCARRIER TRANSMISSION USING A DUAL-FUNCTION MODULATOR/DEMODULATOR" by Andreas Stohr et al., IEEE TRANS, MICROWAVE THEORY TECH., VOL 47, NO. 7, 1999 |
| | AQ | |

EXAMINER

DATE CONSIDERED



BEST AVAILABLE COPY

ATTY DOCKET # 2001_0928A

Due Date: June 29, 2001

OUR REF: 2001_0928A/CRW/01413

Applicant: Hironuki SASAI et al.

Serial No.: NEW

Filing Date: June 28, 2001

Title: OPTICAL TRANSMISSION SYSTEM FOR RADIO ACCESS AND HIGH FREQUENCY
OPTICAL TRANSMITTER

Receipt of the following papers is acknowledged:

1. Utility Patent Application Transmittal (37 CFR 1.53(b))
2. Patent Office Fee Transmittal Form [in duplicate]
3. Specification comprising 108 pages, including claims and abstract
4. 18 sheets drawings (A4P, Figs. 1-19)
5. executed Declaration and Power of Attorney
6. Recordation Form Cover Sheet, and Assignment
7. Information Disclosure Statement, Form PTO-1449, and seven references
8. Claim of Priority Under 35 USC 119, and certified copies of Japanese Patent Application Nos. 2000-197083, 2000-269-804, and 2000-349874
9. Check in the amount of \$1,310.00

Date: June 28, 2001

Attorney: CRW/asd

[Check No.]



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